

Laserfiche® for Financial Advisors

MAKE YOUR STRATEGIC MOVE



Leading advisory firms recognize that technology is a long-term investment that generates growth and higher profitability. Laserfiche, the industry leader in enterprise content and document management solutions for financial advisors, offers an easy way to automate business processes so that advisors can spend more time with clients and easily maintain compliance with FINRA and SEC recordkeeping rules.

Learn More Inside

- ▶ Accelerate Audits while Reducing Compliance Costs
- ▶ Get Secure Access to Information from Anywhere
- ▶ Improve Productivity by Automating Processes
- ▶ Reap Higher Rewards from Existing IT Investments
- ▶ Increase Business Value and Enhance Profitability

Run Smarter®

Laserfiche®

Benefits for Advisors

- ▶ Retrieve documents and locate information instantly.
- ▶ Securely store documents and prevent misfiling.
- ▶ Minimize the amount of time auditors spend in your office.
- ▶ Distribute documents quickly and economically via CD, Web or e-mail.
- ▶ Reclaim the space currently needed to store paper documents.
- ▶ Dramatically reduce the amount of time needed for review and approval processes.
- ▶ Access and upload client information on smartphones and tablets.
- ▶ Protect your firm against natural disasters and other disruptions.
- ▶ Instantly access client documents through CRM applications like Junxure, Salesforce and Microsoft Dynamics.

The Laserfiche Advantage

Available as both a Web-based and a desktop solution, Laserfiche includes:

- ▶ Document scanning capabilities that enable advisory firms to go paperless.
- ▶ Powerful security features that protect confidential client information.
- ▶ DoD 5015.2-certified records management automation that lowers the cost of compliance.
- ▶ Comprehensive auditing and reporting capabilities that monitor all system activity.
- ▶ Workflow functionality that enables advisors to automate standard business processes.
- ▶ A Windows-like interface that minimizes user training and improves productivity right away.



Efficiency, Profitability and Exceptional Client Service



DOCUMENT TYPES

- Client Applications
- New Account Forms
- Order Tickets
- Quarterly and Annual Statements
- Fund Confirmations
- Client Contact Documentation
- Correspondence (paper/electronic)
- Portfolio Allocations
- Logs and Blotters



REPOSITORY

- E-mail
- Electronic Documents
- Faxes
- Mobile Devices
- Multifunction Peripherals
- Scanners



USERS

Back Office Staff	Branch Managers and Advisory Supervisors	Financial Advisors
Distribute documents to clients and other professionals. Search client records easily. Store and retain records securely.	Enforce compliance procedures, review applications and accelerate account opening for greater production and profitability.	Instantly distribute information. Attract top financial advisors. Aid in supervision and audit tracking. Enhance compliance with SEC regulations.

How Laserfiche Works for Financial Advisors

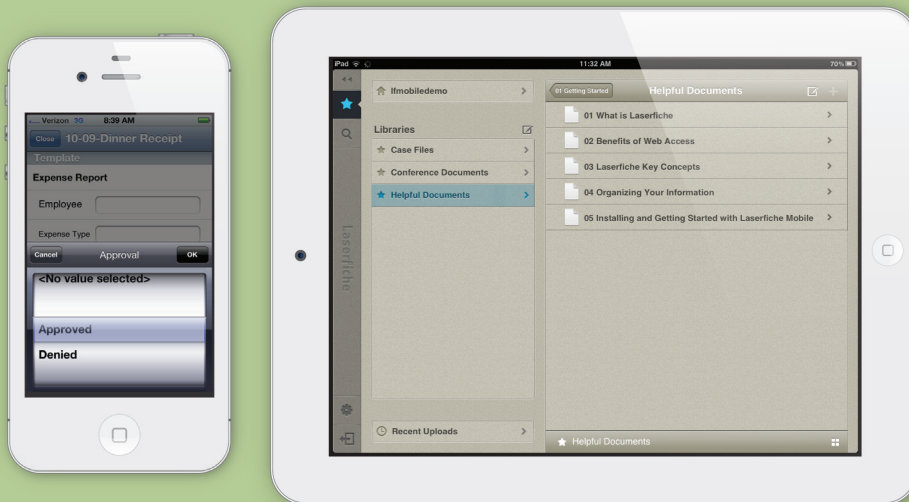
Agile firms are reassessing their operating models to ensure that they are optimized for today's complex business environment. Laserfiche includes document imaging capabilities that enable advisory firms to go paperless, records management automation that lowers the cost of compliance and workflow functionality that allows advisors to automate standard business processes.

Document Processing	Document Storage	Application Development	Compliance
<ul style="list-style-type: none">▶ Captures paper documents as well as electronic documents, e-mails and audio/video files.▶ Extracts data and automatically populates metadata fields, eliminating manual data entry.▶ Supports interoperability that allows data updates in one system to be automatically reflected in another.▶ Automates managerial tasks such as document filing and retention, approval routing and issue escalation.▶ Audits user interactions at all steps.	<ul style="list-style-type: none">▶ Manages digital archives for online or off-line storage and automatically applies information management rules.▶ Offers uniform data/document repository, auditing and compliance reporting functions.▶ Provides standard and customizable security measures for documents, data, applications, departments and users.▶ Supports full-text, image file and customizable search functions.▶ Scales to serve large repositories, longer retention and growth in document and data volumes.▶ Allows use of universal repository with customized access for each department.	<ul style="list-style-type: none">▶ Acts as middleware for integrating with business systems such as CRM and portfolio management applications.▶ Supports independent applications and repeatable shared services.▶ Allows development of applications with central control and local flexibility.▶ Provides a flexible user interface for entering documents and data and receiving updates on system activity.▶ Supports mobile devices with secure access for remotely accessing data, applications and workflows.▶ Enables document searches across the ECM system and other online sources.	<ul style="list-style-type: none">▶ Expedites audits by providing digital records on demand.▶ Automates document retention and destruction, simplifying recordkeeping and decreasing the work involved in responding to regulations.▶ Systematizes the disclosure process so that advisors cannot progress from one step of the process to the next without meeting specified rules or conditions.

Get Secure Access to Information from Anywhere

In today's mobile world, you aren't always sitting at your desk. Secure, real-time access to Laserfiche from mobile devices allows you to:

- ▶ Securely capture, view and act upon mission-critical content from anywhere in the world.
- ▶ Support devices including Apple iPhone, Apple iPad, Android and BlackBerry, as well as Chrome, Opera and Safari Web browsers.
- ▶ Participate in review and approval processes even when you're out of the office.
- ▶ Combine the flexibility of mobile devices with security features including role-based authorization and access control, along with the ability to constantly monitor access and retrieval.



“Combining Laserfiche with mobile technology accelerates and automates key processes, while still giving regulators confidence in our approach.”

Brent Burns, Founder and President, Asset Dedication





Accelerate Audits while Reducing Compliance Costs

A document management solution can't automatically make you compliant, but it can ease the burden of complying with increasingly stringent multi-regulatory rules and retention requirements. Laserfiche provides you with the tools you need to:

- ▶ Provide auditors with instant access to digital files.
- ▶ Reduce the storage burden of complying with FINRA and SEC recordkeeping regulations.
- ▶ Publish time-dated records to unalterable media, as specified by SEC recordkeeping rules.
- ▶ Constantly monitor document access and retrieval with Laserfiche Audit Trail's comprehensive controls.
- ▶ Maintain a back-up of your information so that your firm can continue operating even if your office is inaccessible or destroyed due to a natural disaster.
- ▶ Automate document retention and destruction, eliminating lost documents.



Increase Business Value and Enhance Profitability

All of your day-to-day and year-to-year efforts to grow your business ultimately lead to one objective: increasing the value of your firm. While many firms have the same net revenue, the firm with the lowest overhead is the most valuable. Reduced paper and storage costs, more efficient staff, less time spent on compliance and faster client service give your firm a strong competitive edge.

- ▶ Increase your firm's value with easily transferred and organized client records.
- ▶ Reclaim office space currently used to store large volumes of paper, using more of your office space for revenue-generating activities.
- ▶ Increase advisor recruitment and retention with sophisticated, time-saving technology.

“ We were recently notified by our broker-dealer that it was time for our office's annual audit. Most people panic at the thought, but I just dragged and dropped the requested files from Laserfiche onto an encrypted flash drive and handed it to the auditor. It was a breeze! Advisors not using Laserfiche are wasting years of their life!”

Marcy A. Gitterman, Director of IT and HR,
Gitterman & Associates Wealth Management

“ When we factored in the amount of time and space we'd be saving, Laserfiche just made sense. We provide a wide range of support services aimed at keeping our advisors in front of their clients instead of being buried in non-revenue generating activities, and Laserfiche is a big part of that.”

Joe Globensky, Chief Financial Officer, Level Four Group



Improve Productivity by Automating Processes

Laserfiche eliminates time lags and redundancies for a range of transactional processes.

- ▶ Automate transactional processes including new account opening, transaction approval, exception handling, client reporting and compliance review, among others.
- ▶ Automate back-office processes including contract management, hiring, accounts payable processing and more.
- ▶ Prevent errors by automatically identifying, classifying and filing documents.
- ▶ Automate document retention and destruction, decreasing the amount of time involved in complying with recordkeeping regulations.

“With Laserfiche, our check log literally creates itself. It takes staff less than a minute. All they have to do is scan in the checks and the compliance supervisors can review them right from Laserfiche. When you tell your executives that your administrative staff can do something in 20 minutes that used to take four hours, they can appreciate that.”

Amy Flourry, Senior Operations Manager,
Rehmann Financial



Reap Higher Rewards from Existing IT Investments

Top performers who integrate Laserfiche with software systems such as CRM reap higher rewards from their technology spend.

- ▶ Get up and running quickly with packaged integrations with CRM systems like Junxure, Salesforce.com, Tamarac, Microsoft CRM, Redtail and ACT!
- ▶ Eliminate the costly and time-consuming practice of toggling between multiple applications by integrating Laserfiche with primary applications like CRM and portfolio management.
- ▶ Enhance your CRM system with a hyperlink that will automatically open related documents—such as new account forms or order approvals—stored in Laserfiche.
- ▶ Track e-mail correspondence by automatically filtering and archiving it in Laserfiche using out-of-the-box integrations with Microsoft Office and Exchange.

“Laserfiche integrates with our Microsoft Dynamics CRM and Intuit Lacerte tax software, and it sends Microsoft Office documents directly to Laserfiche. We wanted everything to mesh together. Other ECM systems either didn't integrate, or if they did, it was going to be complicated and expensive.”

Ali Mroue, Chief Operating Officer at Al Hewitt Inc./Hewitt
Financial Group

About Laserfiche

Since 1987, Laserfiche® has used its Run Smarter® philosophy to create simple and elegant enterprise content management (ECM) solutions. More than 32,000 organizations—including over 4,000 financial advisors and RIA firms—have used Laserfiche to streamline document, records and business process management.

By digitizing paper archives, Laserfiche enables financial services professionals to find information instantly, quickly prepare for audits and simplify compliance. Secure Web access enables information sharing with remote offices, business partners and clients, while comprehensive security ensures compliance with government- and industry-mandated standards.

Your Next Step



Read White Papers and Case Studies
laserfiche.com/ria



Attend a Webinar
laserfiche.com/webinar



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◀ **View a video on Laserfiche solutions for financial advisors**

Laserfiche Product Suite

The Laserfiche system is designed to be straightforward to purchase, deploy, extend, administer and support. Laserfiche solutions deploy quickly and easily scale to accommodate both an increasing number of users and high-volume repository growth.

Laserfiche Rio®

laserfiche.com/rio

- ▶ Enterprise content management
- ▶ Document imaging
- ▶ DoD 5015.2-certified records management
- ▶ Business process management
- ▶ Complete auditing and security controls
- ▶ Production-level document capture and processing
- ▶ Unlimited Laserfiche servers to support backups, failover clusters and testing environments

Laserfiche Avante®

laserfiche.com/avante

- ▶ Document management
- ▶ Business process management
- ▶ Optional Web client and Audit Trail tracking
- ▶ Optional DoD 5015.2-certified records management

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